

NAFTA Duty Deferral

This chapter provides records related to the entry summary processing of NAFTA Duty Deferral transactions.

RECORD DESCRIPTIONS

Record Identifier D01 (Input)NDD-4
This is a mandatory input header record that provides NAFTA Duty Deferral entry summary data.	
Record Identifier D02 (Input)NDD-6
This is an optional input header record that provides entry summary data.	
Record Identifier D03 (Input)NDD-7
This is an optional input header record that provides entry summary data.	
Record Identifier D10 (Input)NDD-8
This is a mandatory input record that provides entry summary data.	
Record Identifier D11 (Input)	NDD-10
This is a conditional input record that provides entry summary data.	
Record Identifier D12 (Input)	NDD-11
This is a mandatory input record that provides entry summary data.	
Record Identifier D13 (Input)	NDD-12
This is a conditional input record that provides entry summary data.	
Record Identifier D14 (Input)	NDD-13
This is a conditional input record that provides entry summary data.	
Record Identifier D20 (Input)	NDD-14
This is a conditional input record that provides entry summary data.	
Record Identifier D30 (Input)	NDD-16
This is a mandatory input record that provides entry summary data.	
Record Identifier D31 (Input)	NDD-18
This is a conditional input record that provides entry summary data.	
Record Identifier D00 (Output) ...	NDD-19
This is a conditional output record. This record provides ABI acceptance notification of a NAFTA Duty Deferral Claim.	
Record Identifier DER (Output) .	NDD-20
This is a conditional output record. This record provides an ABI error message and error code when the D00 (output) record indicates "CLAIM REJECTED".	

NAFTA Duty Deferral

The following ABI record layouts pertain to the NAFTA Duty Deferral Entry Program. NAFTA Duty Deferral entry summaries are identified by a new entry type code, 08. NAFTA Duty Deferral is defined as any good that has been imported into a NAFTA country under a duty deferral program, which is used as a material in the production of another good and is subsequently exported to the territory of another NAFTA country. Such a good shall be assessed Customs duties as if the exported good had been withdrawn for domestic consumption.

The NAFTA Duty Deferral Entry Program represents a two-part process. The first part represents the “NAFTA Duty Deferral Entry” which will contain both header and detailed U.S. line item information. This information is reported at the time the merchandise is exported into Canada. The second part, the claim portion, represents the Canadian entry information related to the exportation reported in the first part. The claim information will include Canadian line item data.

Input: Record Identifiers D01, D10, D12, and D30 are mandatory input records. Record Identifiers D02 and D03 are optional input records. Record Identifiers D11, D13, D14, D20, and D31 are conditional input records.

The input application identifier on Record Identifier B is KJ. For additional information on Record Identifier B, refer to the Application Control chapter of this document.

Output: Record Identifier D00 is a mandatory output record. Record Identifier DER is a conditional output record.

The output application on Record Identifier B is KL. For additional information on Record Identifier B, refer to the Application Control chapter of this document.

User Notes:

Record Identifier D01 (Input)

This is a mandatory input header record that provides NAFTA Duty Deferral entry summary data pertaining to the claim type indicator, entry type code, district/port of the claim, claim filer code, claim number, export date, importer of record number, ultimate consignee number, bond type, surety code, and location of goods.

<i>Record Identifier D01 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D01.	
Claim Type Indicator	1N	4	M	A code identifying the type of claim. The valid claim types are: 1 = Warehouse 2 = FTZ 3 = TIB	
Entry Type Code	2N	5-6	M	A code identifying the type of entry. The valid entry type for this application is 08.	
District/Port of Claim	4N	7-10	M	A code representing the district/port where the claim is being made.	
Claim Filer Code	3AN	11-13	M	A unique code assigned by the U.S. Customs Service to all active entry document preparers.	
Claim Number	8N	14-21	M	The number assigned to the claim.	
Export Date	6N	22-27	M	A numeric date in the MMDDYY (month, day, year) format representing the importation date into Canada. If more than one importation date is present due to multiple Canadian entries represented on the claim, report the date of the first importation in this field. Must be greater than 010196.	
Importer of Record Number	12X	28-39	M	A code representing the importer of record.	
Ultimate Consignee Number	12X	40-51	M	A code representing the ultimate consignee.	
Bond Type	1N	52	M	A code representing the valid bond type. Must be either '8' or '9'.	
Team Number	3N	53-55	M	A code indicating the U.S. Customs Service import specialist team assigned to the claim.	
Surety Code	3N	56-58	C	A code identifying the surety company providing the bond coverage for the claim.	
Surety Code (AD/CVD)	3N	59-61	C	A code representing the AD/CVD surety.	
<i>Record Identifier D01 (Input)</i>					

Customs and Trade Automated Interface Requirements

Data Element	Length/ Class	Position	Status	Description	Note
Location of Goods	4AN	62-65	C	The Location of Goods code is a Facilities Information and Resources Management Systems (FIRMS) code and is provided by the U.S. Customs Service. This code is a 4-position serial number. If CLAIM TYPE INDICATOR = '1' or '2' then a valid FIRMS code must be present.	
Filler	15AN	66-80	M	Space fill.	

Record Identifier D02 (Input)

This is an optional input header record that provides entry summary data pertaining to the CF-4811 reference number and broker reference number.

<i>Record Identifier D02 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D02.	
CF-4811 Reference Number	12X	4-15	O	A reference number contained on Customs Form 4811, which is filed with the U.S. Customs Service. If there is no CF-4811 Reference Number, then space fill.	
Broker Reference Number	9X	16-24	O	This field is provided for the convenience of the user. An optional code provided by the participant, it is not edited or changed during ACS processing. It is for internal user system control in entry summary processing. The Broker Reference Number is mandatory when the Update Action Code A is used to replace previously entered entry summary data and must match exactly the Broker Reference Number as originally transmitted. ACS replaces data when the entry numbers match the entry number previously transmitted to ACS. Refer to Record Identifier 10 for additional information on update action codes.	
Filler	56AN	25-80	M	Space fill.	

Record Identifier D03 (Input)

This is an optional input header record that provides entry summary data pertaining to the IE/TE number, IE/TE date, IE/TE quantity, and IE/TE unit.

<i>Record Identifier D03 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D03.	
IE/TE Number	12AN	4-15	M	A code representing the IE/TE number. If Record Identifier D03 has been reported then this field must be present with a value greater than zero.	
IE/TE Date	6N	16-21	M	A numeric date related to the IE/TE number in the MMDDYY (month, day, year) format. The date may not be less than 010196 or greater than the system (transmission) date.	
IE/TE Quantity	8N	22-29	M	A value representing the quantity associated with the IE/TE.	
IE/TE Unit	5X	30-34	M	An abbreviation representing the unit of measure.	
Filler	46AN	35-80	M	Space fill.	

Record Identifier D10 (Input)

This is a mandatory input record that provides entry summary data pertaining to the line item number, export tariff number, import entry filer code, import entry number, import FTZ number, country of origin, country of export, zone status, privileged status filing date, and warehouse entry process type.

Record Identifier D10 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D10.	
Line Item Number	3N	4-6	M	A line item refers to a commodity from one country, covered by a line that includes a net quantity, value and tariff number. Valid line item numbers are 001 to 999.	
Export Tariff Number	10AN	7-16	M	A code in the HTS representing the export tariff number.	
Import Entry Filer Code	3AN	17-19	C	The filer code of the entry summary from which the claim is being made.	1
Import Entry Number	8N	20-27	C	The entry number from which a claim is being made.	1
Import FTZ Number	7AN	28-34	C	A code representing the foreign trade zone from which a claim is being made.	
Country of Origin	2X	35-36	M	The ISO country code of the country of origin. Valid ISO country codes are listed in Appendix B.	
Country of Export	2X	37-38	C	The ISO country code of the exporting country. Valid ISO country codes are listed in Appendix B.	
Zone Status	1AN	39	C	A code representing the status of the foreign trade zone. Valid zone status codes are: P = Privileged Foreign Merchandise N = Non-privileged Foreign Merchandise D = Domestic Merchandise Z = Zone Restricted Merchandise	
Privileged Status Filing Date	6N	40-45	C	A numeric date in MMDDYY (month, day, year) format representing the privileged status filing date.	
Warehouse Entry Process Type	1AN	46	C	A code representing the type of warehouse processing. Valid warehouse processing type codes are: 1 = Manipulation 2 = Smelting or Manufacturing	2

Filler	34AN	47-80	M	Space fill.	
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Note 1

The import filer/entry number must be resident on the ENA/ENX file. If the CLAIM TYPE INDICATOR = 2 then this field shall not be required.

Note 2

If the CLAIM TYPE INDICATOR (located in Record Identifier D01) = 1 then this field must be reported containing one of the valid codes. If the CLAIM TYPE INDICATOR = 2 or 3 then this field shall be space filled.

Record Identifier D11 (Input)

This is a conditional input record that provides entry summary data pertaining to the antidumping case number, antidumping duty, antidumping specific deposit value, antidumping deposit rate, antidumping bonded duty indicator, countervailing case number, countervailing duty, countervailing specific deposit value, countervailing deposit rate, and countervailing bonded duty indicator.

Record Identifier D11 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D11.	
Antidumping Case Number	10AN	4-13	C	The specific antidumping case number.	
Antidumping Duty	10N	14-23	C	The antidumping duty associated to the line item.	
Antidumping Specific Deposit Value	10N	24-33	C	A value in whole U.S. dollars to be used exclusively and in lieu of any other line item value to calculate antidumping duty.	
Antidumping Deposit Rate	5N	34-38	C	The decimal representation of the percentage of the antidumping deposit rate.	
Antidumping Bonded Duty Indicator	1AN	39	C	A code indicating if the antidumping duty is bonded. Valid codes are: 0 = ADD is not bonded 1 = ADD is bonded Space fill = No ADD case	
Countervailing Case Number	10AN	40-49	C	The specific countervailing duty case number.	
Countervailing Duty	10N	50-59	C	The countervailing duty associated with the line item.	
Countervailing Specific Deposit Value	10N	60-69	C	A value in whole U.S. dollars to be used exclusively and in lieu of any other line item value to calculate countervailing duty.	
Countervailing Deposit Rate	5N	70-74	C	The decimal representation of the percentage of the countervailing duty deposit rate.	
Countervailing Bonded Duty Indicator	1AN	75	C	A code indicating if the CVD is bonded. Valid codes are: 0 = CVD is not bonded 1 = CVD is bonded Space fill = No CVD case	
Filler	5AN	76-80	M	Space fill.	

Record Identifier D12 (Input)

This is a mandatory input record that provides entry summary data pertaining to the special programs indicator (primary or country), tariff number, value, duty, quantity (1), unit of measure (1), and special programs indicator (secondary).

<i>Record Identifier D12 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D12.	
Special Programs Indicator (Primary or Country)	2X	4-5	C	A code representing the primary or country Special Program Indicator (SPI).	
Tariff Number	10AN	6-15	M	A code in the HTS representing the import tariff number.	
Value	10N	16-25	M	The value of the line item in whole U.S. dollars.	
Duty	10N	26-35	C	A value representing the duty associated with the tariff number. Two decimal places are implied. If the value is a whole number, the two low order (cents) positions contain zeros. If zero duty is valid then use zeros or space fill in this field.	
Quantity (1)	12N	36-47	C	A value representing the first or only quantity associated with the tariff number.	
Unit of Measure (1)	3AN	48-50	C	A code representing the first or only unit of measure associated with the tariff number.	
Special Programs Indicator (Secondary)	1X	51	C	A code representing the secondary SPI.	
Filler	29AN	52-80	M	Space fill.	

Record Identifier D13 (Input)

This is a conditional input record that provides entry summary data pertaining to the quantity (2), unit of measure (2), quantity (3), and unit of measure (3).

<i>Record Identifier D13 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D13.	
Quantity (2)	12N	4-15	M	A value representing the second quantity associated with the tariff number.	
Unit of Measure (2)	3AN	16-18	M	A code representing the second unit of measure associated with the tariff number.	
Quantity (3)	12N	19-30	C	A value representing the third quantity associated with the tariff number.	
Unit of Measure (3)	3AN	31-33	C	A code representing the third unit of measure associated with the tariff number.	
Filler	47AN	34-80	M	Space fill.	

Record Identifier D14 (Input)

This is a conditional input record that provides entry summary data pertaining to the class code and user fee amount.

<i>Record Identifier D14 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D14.	
Class Code	3N	4-6	M	A code that identifies the type of fee being collected. Codes are listed in Appendix B.	
User Fee Amount	8N	7-14	M	A value associated with the line item data that represents the declared fee as imposed by federal regulation.	
Filler	66AN	15-80	M	Space fill.	

Record Identifier D20 (Input)

This is a conditional input record that provides entry summary data pertaining to the Canadian entry number, Canadian entry date, Canadian harmonized tariff number, Canadian duty rate, Canadian paid duty in Canadian dollars, and Canadian paid duty in U.S. dollars.

<i>Record Identifier D20 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D20.	
Canadian Entry Number	14AN	4-17	M	The number assigned to the Canadian entry.	
Canadian Entry Date	6N	18-23	M	A date in MMDDYY (month, date, and year) format representing the entry date of the Canadian entry. Must be greater than or equal to 010196 and less than or equal to the system (transmission) date.	
Canadian Harmonized Tariff Number	10AN	24-33	M	The Canadian tariff number.	
Canadian Duty Rate	12N	34-45	M	A value representing the Canadian duty rate associated with the Canadian tariff number.	
Canadian Paid Duty (In Canadian Dollars)	12N	46-57	M	A value representing the Canadian paid duty, in Canadian dollars for the associated tariff.	
Canadian Paid Duty (In U.S. Dollars)	12N	58-69	M	A value representing the Canadian paid duty, in U.S. dollars for the associated tariff.	
Filler	11AN	70-80	M	Space fill.	

User Notes:

Record Identifier D30 (Input)

This is a mandatory input record that provides entry summary data pertaining to the total value of claim, total estimated duty (U.S.), total Canadian paid duty (in U.S. dollars), total duty owed, total fee, payment type indicator, payment due date, client branch designation, and Canadian entry list disclaimer.

<i>Record Identifier D30 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D30.	
Total Value of Claim	11N	4-14	M	A value representing the total value of the claim.	
Total Estimated Duty (U.S.)	11N	15-25	C	A value representing the total estimated U.S. duty of the claim.	
Total Canadian Paid Duty (In U.S. Dollars)	11N	26-36	C	A value representing the Canadian paid duty, in U.S. dollars for the claim.	
Total Duty Owed	11N	37-47	M	A value representing the total duty owed the United States Customs Service. The value is equal to the TOTAL ESTIMATED DUTY (U.S.) minus TOTAL CANADIAN PAID DUTY (IN U.S. DOLLARS). If no duty is owed, report zeros in this field. If the TOTAL CANADIAN PAID DUTY (IN U.S. DOLLARS) is greater than the TOTAL ESTIMATED DUTY (U.S.) then zeros shall appear in this field. If the TOTAL CANADIAN PAID DUTY (IN U.S. DOLLARS) is less than the TOTAL ESTIMATED DUTY (U.S.) then the difference between the two amounts shall appear in this field.	
Total Fee	11N	48-58	C	A value representing the total user fee amount for the claim, two decimal places are implied.	

Record Identifier D30 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Payment Type Indicator	1N	59	C	<p>A code representing the method of payment. Valid payment type indicators are:</p> <p>1 = If payment of the claim is to be made on an individual basis. 2 = If payments are to be batched by payment due date and filer code. 3 = If payments are to be batched by payment due date and importer of record number. 5 = If payments are to be batched by payment due date and importer of record for an importer with several suffixes.</p> <p>If the PAYMENT TYPE INDICATOR equals 2, 3, or 5 then at least one valid D20 record must be present.</p>	
Payment Due Date	6N	60-65	C	A numeric date in MMDDYY (month, day, year) format representing the date chosen for batch payment of the claim(s).	
Client Branch Designation	2AN	66-67	O	A code that allows a filer to designate separate statements for individual branches within the same district/port code.	
Canadian Entry List Disclaimer	1AN	68	M	<p>A code which indicates that Canadian entry data associated with the claim will or will not be provided. Valid codes are:</p> <p>Space fill = Associated Canadian entry data will be provided. 1 = Associated Canadian entry data will not be provided.</p> <p>If CANADIAN DISCLAIMER = 'space fill' then the transaction must contain at least one valid D20 record. If CANADIAN DISCLAIMER = '1' then the transaction shall not contain a valid D20 record.</p>	
Filler	12AN	69-80	M	Space fill.	

Record Identifier D31 (Input)

This is a conditional input record that provides entry summary data pertaining to the total bonded antidumping duty, total payable antidumping duty, grand total antidumping duty, total bonded countervailing duty, total payable countervailing duty, and grand total countervailing duty.

<i>Record Identifier D31 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D31.	
Total Bonded Antidumping Duty	11N	4-14	C	A value representing the total bonded antidumping duty.	
Total Payable Antidumping Duty	11N	15-25	C	A value representing the total payable antidumping duty.	
Grand Total Antidumping Duty	11N	26-36	C	A value representing the total bonded and payable antidumping duty.	
Total Bonded Countervailing Duty	11N	37-47	C	A value representing the total bonded countervailing duty.	
Total Payable Countervailing Duty	11N	48-58	C	A value representing the total payable countervailing duty.	
Grand Total Countervailing Duty	11N	59-69	C	A value representing the total bonded and payable countervailing duty.	
Filler	11AN	70-80	M	Space fill.	

Record Identifier D00 (Output)

This is a conditional output record that provides data pertaining to the claim filer code, claim number and narrative message. This record provides ABI acceptance notification of a NAFTA Duty Deferral Claim.

<i>Record Identifier D00 (Output)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal D00.	
Claim Filer Code	3AN	4-6	M	The filer code assigned to the claim.	
Claim Number	8N	7-14	M	The number assigned to the claim.	
Filler	3AN	15-17	M	Space fill.	
Narrative Message	25AN	18-42	M	A narrative message that the claim has been received. The messages are: "CLAIM ACCEPTED ERROR FREE" or "CLAIM ACCEPTED WITH WARNINGS" when the claim has been accepted.	
Filler	38AN	43-80	M	Space fill.	

Record Identifier DER (Output)

This is a conditional output record that provides data pertaining to the claim filer code, claim number, error message identifier, and narrative message. This record provides an ABI error message and error code when the D00 (output) record indicates “CLAIM REJECTED”.

<i>Record Identifier DER (Output)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	3AN	1-3	M	Must always equal DER.	
Claim Filer Code	3AN	4-6	M	The filer code assigned to the claim.	
Claim Number	8N	7-14	M	The number assigned to the claim.	
Error Message Identifier	3AN	15-17	M	A code identifying the error message.	
Narrative Message	34AN	18-51	M	The error message indicating that the claim data associated with the record did not meet edit criteria.	
Filler	29AN	52-80	M	Space fill.	